



G R E S H A M
S M I T H A N D
P A R T N E R S

May 24, 2010

Leslie Goldsmith
Iowa Department of Natural Resources
Wallace State Office Building
502 East Ninth Street
Des Moines, IA 50319

Subject: EMS Pilot Program
Progress Report for SWAP Advisory Council
GS&P Project No. 27518.00

Dear Ms. Goldsmith:

Gresham, Smith and Partners (GS&P) has prepared this report to update the SWAP Advisory Council on the progress made on the Environmental Management System Pilot Program through May 7, 2010.

1. Assignments from Council

- a) GS&P continued to provide feedback to Council regarding greenhouse gas inventory software and EMS tracking software, including an in-person meeting to review different options.
- b) GS&P attended the Council Meeting on April 26, 2010. GS&P provided an update to Council regarding the status of Pilots' EMS development efforts, hurdles and accomplishments. GS&P also prepared and delivered a presentation to Council regarding the considerations for the EMS Annual Report content and format. Council expressed an interest in getting feedback from Pilots on the reporting and other requirements for future EMS participants.
- c) GS&P continued drafting components of the GS&P Final Report and the Pilots Annual Report.

2. Pilot Progress

- a) GS&P conducted monthly conference calls with the Pilots on April 16 and 19, 2010.
- b) All the Pilots have posted the Activities and Environmental Impacts lists (enumerating the organization's operations and tasks with their associated potential environmental impact, including scoring to rank significant impacts).

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Ms. Goldsmith
May 24, 2010
Page 2

- c) Pilot Site Visits were conducted on April 26 and 28, 2010. GS&P toured the facilities and assisted Pilots with various EMS development efforts. Each of the six Pilots has now had one site visit.
- d) All six Pilots participated in the Second Quarterly Meeting on April 27, 2010, in which GS&P delivered presentations, handouts and exercises on EMS.
- e) The following assignments were made:

Task	Deliverable	Due Date
Identify and Document Roles and Responsibilities	Roles and Responsibility Matrix	05/29/10
Identify Internal and External Communication, Training and Awareness, and Tracking of Communication Requests	Written Communication Procedure/Training Procedure and Training Matrix	06/15/10
Develop EMS Procedures. Compile EMS Records and EMS Manual.	Written Procedures and Records: <ul style="list-style-type: none">• Environmental Impacts• Legal and Other Requirements• Monitoring and Measurement EMS Manual	06/29/10
Identify EMS Assessor(s)	Name of Assessor(s)	06/29/10

3. Accomplishments and Hurdles

- a) Council requested feedback from the Pilots on the requirements for future EMS applicants and the components of the Annual Report. GS&P facilitated a discussion at the Second Quarterly Meeting on the topics of metrics, auditing, and annual report content. Highlights from this discussion are:
 - i) There was consensus among Pilots that the application used for the EMS Pilots was acceptable and no revisions were suggested for future applicants.
 - ii) There was discussion, but no final recommendation, about whether a third party EMS audit should be a requirement for EMS participants. If an EMS third party audit is recommended, there was debate about who an appropriate auditor would be, such as:
 - (1) A consultant, yet there was concern that they could be biased to provide favorable results toward the solid waste agencies.



Ms. Goldsmith
May 24, 2010
Page 3

- (2) A peer group of qualified individuals.
 - (3) An ISO 14001 auditor, with appropriate modifications to the Iowa EMS requirements.
 - iii) There was discussion, but no final recommendation, about developing a list of suggested metrics for the EMS participants to increase uniformity in the reporting data on common environmental improvement areas.
 - iv) There was discussion, but no final recommendation, about creating a regulatory compliance requirement for future EMS applicants. A concern was raised that barring applicants with compliance issues may eliminate the possibility of using EMS to make environmental improvements and ultimately achieving compliance. The following scenarios were discussed for applicants with a demonstrated history of repeated non-compliance:
 - (1) Applicants would be barred from participation.
 - (2) Applicant would be penalized on the application scoring.
 - (3) Applicant would be required to pay a financial penalty to participate.
 - (4) No compliance requirements would be required to participate.
 - v) Many Pilots recommended the Annual Report for EMS participants should have a limited amount of text and that the majority of the data to be included should be accessible from the reporting tool in the Intelex software. Pilots suggested EMS documents, such as the Environmental Policy and EMS Fenceline, if required, should be uploaded to an Iowa DNR database and should not be included in the annual report.
 - vi) Many Pilots recommended that future applicants receive 18 to 24 months to develop and implement the EMS, rather than one year. This would allow EMS participants more time to develop and implement the EMS while providing flexibility to work around their seasonal workload. Pilots suggested keeping the project kick-off time in the fall for future participants.
 - vii) The Pilots stated that future EMS participants would need assistance in developing the EMS. While relevant EMS examples of documentation and records would be available, assistance on understanding the components of the EMS and terminology would be needed for success. Additionally, the Pilots believed there was a lot of value in working through the EMS with other Solid Waste Management Agencies.
- b) There was discussion, but no final recommendation, about instituting a tiered system of EMS participants which would recognize different levels of EMS implementation. New applicants would enter the first tier and advance to a higher tier once they had accomplished certain criteria of EMS development. Higher tier(s) would need coinciding incentives to encourage participants to advance.



Ms. Goldsmith
May 24, 2010
Page 4

- c) GS&P continued to provide EMS resources and example materials through the project website. Pilots used the website to communicate, find resources and upload their deliverables

4. Lessons Learned and Noteworthy Experiences

- a) Pilots continued to note the challenge of the time commitment required to develop and implement the EMS. The seasonal nature of the solid waste agencies' work should be a consideration in future EMS scheduling. The busy spring season, including Earth Day events, exacerbated this issue.
- b) Pilots can use their Emergency Response and Remedial Action Plan (ERRAP) and Operations Plan as a starting point to assist in the development of EMS documents, such as the roles and responsibilities matrix or EMS procedures.

5. Problems, Schedule Impacts and Other Significant Issues

- a) None to report.

Please contact me if you have any questions regarding this report or the services described herein.

Sincerely,

Laura Fiffick, P.G.
Project Manager

Gresham, Smith and Partners

Copy Sara Bixby—Council
 Becky Jolly – Iowa DNR
 Tom Dietrich—GS&P